



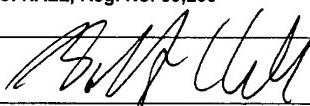
Please type a plus sign (+) inside this box →

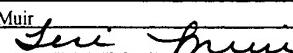
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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<h2 style="text-align: center;">TRANSMITTAL FORM</h2> <p style="text-align: center;"><i>(to be used for all correspondence after initial filing)</i></p>		Application Number	09/626,526		
		Filing Date	July 27, 2000		
		First Named Inventor	GREEN et al.		
		Group Art Unit	2881		
		Examiner Name	C. H. Jackson		
Total Number of Pages in This Submission	11	Attorney Docket Number	NUFO-021		
ENCLOSURES (check all that apply)					
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input checked="" type="checkbox"/> Request for Continued Examination (RCE) <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i> <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <small>Remarks</small>	<input type="checkbox"/> After Allowance Communication to Group			
		<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences			
		<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>			
		<input type="checkbox"/> Proprietary Information			
		<input type="checkbox"/> Status Letter			
		<input type="checkbox"/> Other Enclosure(s) (please identify below):			
		<small>RECEIVED TC 2800 MAIL ROOM MAY 22 2002</small>			
		SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
		Firm or Individual Name	ROBERT C. HALL, Reg. No. 39,209		
		Signature			
Date	05/03/02				

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:			
Typed or printed name	Teri Muir	Date	MAY 3, 2002
Signature			

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$ 1596.00)
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Complete if Known	
Application Number	09/626,526
Filing Date	July 27, 2000
First Named Inventor	GREEN et al.
Examiner Name	C. H. Jackson
Group Art Unit	2881
Attorney Docket No.	NUFO-021

METHOD OF PAYMENT

- The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:
Deposit Account Number 50-0815
Deposit Account Name Bozicevic, Field & Francis LLP
- Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17
- Applicant Claims small entity status.
See 37 CFR 1.27
- Payment Enclosed:
- Check Credit Card Money Order Other

FEE CALCULATION

2. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370 Utility filing fee	
106	330	206 165 Design filing fee	
107	510	207 255 Plant filing fee	
108	740	208 370 Reissue filing fee	
114	160	214 80 Provisional filing fee	
SUBTOTAL (1)			

1. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
24 - 20** = 14	x	18.00	= 252.00
Indep. Claims 5-3** = 6	x	84.00	= 504.00
Multiple Dependent		=	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	84	202 42 Independent claims in excess of 3
104	280	204 140 Multiple dependent claim, if not paid
109	84	209 42 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) \$ 746.00		

**or number previously paid, if greater; For Reissues, see above.

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge – late filing fee or oath	
127	50	227 25 Surcharge – late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examination action	
113	1,840*	113 1,840*Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	110.00
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive – unavoidable	
141	1,280	241 640 Petition to revive – unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	740	246 370 For each additional invention to be examined (37 CFR § 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370 Request for Continued Examination (RCE)	740.00
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			

*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$ 850.00)**

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	ROBERT C. HALL	Registration No. (Attorney/Agent)	39,209	Telephone	(650) 327-3400
Signature			Date	05/03/02	

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#101C
7-202
R. Dealer

In re application of: Green et al.

Serial No.: 09/626,526

Filed: July 27, 2000

For: METHOD AND APPARATUS FOR
FILTERING AN OPTICAL BEAM

Art Unit: 2881

Examiner: Jackson, C.

Atty ref.: NUFO-021

Date of Deposit: MAY 3, 2002

Teri Muir

Teri Muir

Typed or Printed Name

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Assistant Commissioner for Patents
Washington DC 20231

AMENDMENT

Sir:

This amendment is accompanied by a Request for Continued Prosecution, and is responsive to the Office Action dated December 4, 2001 for which a three-month period for response was given making this response due on or before March 4, 2001. A Petition for a 2-Month Extension of Time is submitted herewith, making this amendment due on or before May 4, 2002. Accordingly, this response is timely filed.

In view of the remarks put forth below, reconsideration and allowance are respectfully requested.

IN THE CLAIMS

Please cancel claims 59-87 without prejudice, and replace therefore the following new claims.

- Sub D1*
- C1*
88. (New) A tunable filter apparatus, comprising:
(a) a grid generator positioned in an optical path and configured to generate a first plurality of transmission peaks corresponding to channels within a selected wavelength range; and
(b) a channel selector positioned in said optical path and configured to generate a second plurality of transmission peaks within said wavelength range.

05/16/2002 MGEBREM1 00000036 500815 09626526

01 FC:102 504.00 CH

02 FC:103 252.00 CH